

Exhibit 300: Capital Asset Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview & Summary Information

Date Investment First Submitted: 2010-09-10
Date of Last Change to Activities: 2012-08-15
Investment Auto Submission Date: 2012-02-28
Date of Last Investment Detail Update: 2012-06-29
Date of Last Exhibit 300A Update: 2012-08-15
Date of Last Revision: 2012-08-15

Agency: 006 - Department of Commerce **Bureau:** 51 - US Patent and Trademark Office

Investment Part Code: 01

Investment Category: 00 - Agency Investments

1. Name of this Investment: USPTO Fee Processing Next Generation (FPNG)

2. Unique Investment Identifier (UII): 006-000803100

Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

The Administration is looking to COTS, GOTS, and open source code to meet its IT needs and is making custom code a last resort. The Administration is also listening to its stakeholders to identify opportunities for process and technology improvements. External Stakeholders: IT is being used to build an interactive relationship with USPTO customers, including the secure and easy payment of fees as customers do business with the USPTO. Customers will experience the same look-and-feel as they move from ordering goods/services (Patents End-to-End and Trademarks NG) to paying for their order (FPNG); set up EFT/deposit/credit card payment accounts on-line and associate their payment accounts with their USPTO customer account for easy payment; receive on-line notification when additional fees are due or when refunds have been issued; electronically request refunds; and tailor their on-line notifications and their on-line queries to get financial history about specified payment accounts and/or business accounts to which they have secured access. Currently the process described above is non-standardized, disjointed, and/or non-existent. Internal Stakeholders: Fee payment and refund documents will be stored in a single location that allows for proper financial internal controls and audit history as well as a complete business record for each order. Currently documents are stored across several systems. Customer notifications will be issued using standard electronic methods and following standard business rules. Many edits and audits that must now be done manually

will be built into FPNG. Overall, workload related to system shortcomings such as time-consuming manual procedures or high helpdesk call volume will be reduced. Technology: There is a large body of knowledge and technologies to leverage. As appropriate, on-line payment technologies in the marketplace will be used. Where Government Off-the-Shelf (GOTS) technologies already exist, those will take precedence in order to gain financial management efficiencies across the Federal Government. Currently the custom collection system is running on unsupported software, has a severely inefficient interface architecture (over 90 interfaces), lacks redundancy, has very limited disaster recovery, and is at risk of going down for an extended period of time.

2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.

FPNG is directly tied to Patent End-to-End (PE2E) and Trademarks NG (TM-NG). The current RAM system cannot keep pace with these two major USPTO next generation efforts. RAM currently has over 90 integrations with 28 different patent and trademarks business systems. The majority of these integrations are tightly-coupled such that a change in one system requires changes to the interfacing systems as well. RAM is used by 30 different offices throughout the USPTO and is also invoked by 9 different Internet storefronts with which USPTO external customers interact. About 90% of patent and 97% of trademark payments (over 9 thousand transactions a day, on average) are made electronically through these storefronts. In short, any effort to radically reinvent business systems and consolidate storefronts, primary goals of PE2E and TM-NG, must be paired with an effort to reinvent the USPTO fee collection system as well.

3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.

(1) Program Level Deliverables: Capital Investment Decision Paper; Solutions Architecture Document; Technical Transition Strategy; Product Backlog (overarching requirements under Agile methodology); Business Rules for Refunds, Deposit Accounts, and half of Sales features; and Integrated Region Plan (12 different technical environments). (2) Configure COTS Project Deliverables: Requirements; COTS Gap Analysis and Product Delivery Schedule; and Designs/Configurations. (3) Migrate Legacy Data to COTS Project Deliverables: Requirements; Conversion Strategy; Data Mapping; and Conversion Design. (4) Reports in the EDW Project Status: Requirements Phase started. (5) User Interface and Integration Project Status: Prototype to become familiar with technical stack and solidify Agile methodology requirement management process started.

4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).

(1) Program Level Deliverables: Technical Transition Plan (including business process transition plan); Remaining Business Rules; Overarching Security Plan; Updates to Previous "living" Deliverables. (2) Configure COTS Project Deliverables: Develop, Test, and Deploy. (3) Migrate Legacy Data to COTS Project Deliverables: Develop, Test, and Deploy (includes synchronization code for parallel processing). (4) Reports in the EDW Project Deliverables:

Information Dissemination Strategy, Design, Develop, Test, and Deploy. (5) Decouple FPNG from Legacy Systems Project completed. (6) User Interface and Integration Project Deliverables: Continue to build architecture; Move reference table functionality from RAM to FPNG; Move stored payment account functionality from RAM to FPNG; Turn off Financial Profile and On-Line Shopping Page; Move external system inquiry functionality from RAM to FPNG; Move international organization file transfers from RAM to FPNG; and Implement Integration between Momentum and Document Management Tool. (7) Utilize Business Intelligence Project Deliverables: Implement Information Dissemination Strategy including additional data elements to the EDW and additional reports/queries.

5. **Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.**

2011-01-27

Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

	PY-1 & Prior	PY 2011	CY 2012	BY 2013
Planning Costs:	\$0.0	\$0.0	\$4.9	\$3.9
DME (Excluding Planning) Costs:	\$0.0	\$2.2	\$6.4	\$9.0
DME (Including Planning) Govt. FTEs:	\$0.0	\$1.9	\$2.0	\$2.0
Sub-Total DME (Including Govt. FTE):	0	\$4.1	\$13.3	\$14.9
O & M Costs:	\$0.0	\$0.0	\$0.0	\$0.0
O & M Govt. FTEs:	\$0.0	\$0.0	\$0.0	\$0.0
Sub-Total O & M Costs (Including Govt. FTE):	0	0	0	0
Total Cost (Including Govt. FTE):	0	\$4.1	\$13.3	\$14.9
Total Govt. FTE costs:	0	\$1.9	\$2.0	\$2.0
# of FTE rep by costs:	0	14	14	14
Total change from prior year final President's Budget (\$)		\$0.0	\$0.0	
Total change from prior year final President's Budget (%)		0.00%	0.20%	

2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:

The FY12 FPNG was increased as much as possible (given capacity constraints) to make up for slower work in FY11 due to budget cuts (\$9.055M cut from FPNG). Also, some of the FPNG work previously anticipated for FY13 was moved to FY14 to more accurately reflect these capacity constraints. The result is a more level workload across FY.

Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
Awarded	1344	DOC43PAPT0709019	GS35F4797H	4730							
Awarded	1344	DOC44PAPT0802108	GS23F9763H	4730							
Awarded	1344	DOC44PAPT1000012	GS06F0651Z	4730							
Awarded	1344	DOC44PAPT1109028	GS35F0426T	4730							
Awarded	1344	DOC44PAPT1000008	GS06F0631Z	4730							
Awarded	1344	DOC45PAPT1200028	DOC45PAPT1170000	1344							
Awarded	1344	DOC45PAPT1200025	DOC45PAPT1170000	1344							
Awarded	1344	DOC45PAPT1200048	DOC45PAPT1000002	1344							
Awarded	1344	DOC45PAPT1200062	DOC45PAPT1170000	1344							
Awarded	1344	DOC45PAPT1000073	DOC45PAPT1000002	1344							
Awarded	1344	DOC45PAPT1200072	DOC45PAPT1000006	1344							
Awarded	1344	DOC45PAPT1200109	DOC45PAPT1000002	1344							
Awarded	1344	DOC56PAPT1000025	DOC50PAPT0801008	1344							
Awarded	1344	DOC56PAPT1103008	DOC50PAPT0801027	1344							
Awarded	1344	DOC56PAPT1104011	DOC50PAPT0801026	1344							

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
Awarded	1344	DOC46PAPT1100379	DOC50PAPT0701039	1344							
Awarded	1344	DOC56PAPT1208002	DOC50PAPT1200010	1344							
Awarded	1344	DOC56PAPT1212001	DOC50PAPT1200016	1344							
Awarded	1344	DOC56PAPT1212002	DOC50PAPT1200016	1344							
Awarded	1344	DOC56PAPT12000329	DOC50PAPT0905000	1344							
Awarded	1344	DOC56PAPT12000485	DOC50PAPT1200006	1344							

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

Earned value Management reporting is required and implemented in all contracts where the contractors are engaged in development, modernization, and enhancement (DME) type work over \$1M and longer than 90 days in duration. Contracts with EVM reporting include the System Development and Integration (SDI) contract.

Exhibit 300B: Performance Measurement Report

Section A: General Information

Date of Last Change to Activities: 2012-08-15

Section B: Project Execution Data

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
8031X11012	Configure COTS FPNG	Configure Momentum to be the Revenue Subsidiary Ledger for FPNG - Includes pricing table, accounts receivable, accounts payable, deposit account agreements, and patent/trademark application "notebooks".			
8031X11015	Create Reports in EDW FPNG	Implement ETL Tool and Pull Momentum data into the EDW. Reports from the RAM and from the Momentum data sources can be compared to ensure conversion and ongoing synchronization.			
8031X11055	FPNG UI&I Prototype 1.0	Set up the basic FPNG physical architecture and become familiar with the selected FPNG technology stack. Also, work through the Agile development methodology and determine best policies / procedures for moving forward.			
8031X11079	Migrate Legacy Data to COTS FPNG	Convert historical RAM data into the Momentum COTS database.			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
8031X11190	FY11 Manage Program	Manage overarching business and technical dependencies. Prepare and continually update program management plan documents. Provide stakeholder communications.			
8031X12020	Decouple FPNG from Legacy Systems	Remove database links between RAM and other USPTO systems and replace them with web services. More loosely coupled integrations will ease the transition from RAM to FPNG.			
8031X12191	FY12 Manage Program	Manage overarching business and technical dependencies. Determine overall program transition. Prepare and continually update program management plan documents. Provide stakeholder communications.			
8031X12192	FPNG UI&I Reference Data Services	Turn off reference data entry functionality in RAM and replace with FPNG user interface that will update Momentun reference tables during dual processing. Momentun will then update RAM reference tables.			
8031X12193	FPNG UI&I Stakeholder and Stored Payment Account Management Services	Turn off Financial Profile and Finance On-Line Shopping Page functionality in RAM and replace with an FPNG user interface and custom database for stakeholder account, deposit account, EFT account, and credit card account maintenance.			
8031X12194	FPNG UI&I Stakeholder and Stored Payment Account Management Reports	Pull stakeholder and stored payment account data into the EDW in order to replace the current RAM reports as well as some report requirements from the BPR effort.			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
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Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M)	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
8031X11012	Configure COTS FPNG							
8031X11015	Create Reports in EDW FPNG							
8031X11055	FPNG UI&I Prototype 1.0							
8031X11079	Migrate Legacy Data to COTS FPNG							
8031X11190	FY11 Manage Program							
8031X12020	Decouple FPNG from Legacy Systems							
8031X12191	FY12 Manage Program							
8031X12192	FPNG UI&I Reference Data Services							
8031X12193	FPNG UI&I Stakeholder and Stored Payment Account Management Services							
8031X12194	FPNG UI&I Stakeholder and Stored Payment Account Management Reports							

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days)	Schedule Variance (%)
Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days)	Schedule Variance (%)
8031X11012	Concept/Definition Phase	Concept/Definition	2011-05-31	2011-05-31		167	-458	-274.25%
8031X11079	Concept/Definition Phase	Concept/Definition	2011-05-31	2011-05-31		167	-458	-274.25%
8031X11190	Business Rules: Deposit Accounts and Refunds	Extract deposit account and refund business rules from legacy code, attach to legacy requirements for context, enter in USPTO requirements tool, and mark as carryover to FPNG, obsolete, or modify for FPNG.	2011-07-21	2011-07-21	2011-07-21	154	0	0.00%
8031X11079	Design Phase	Design Solution	2011-08-18	2011-09-30		78	-379	-485.90%
8031X11055	Initiation/Planning/Requirements Analysis	Initiate Project and Define Requirements	2011-08-18	2011-08-18	2011-08-18	83	0	0.00%
8031X11012	Design Phase	Design Solution	2011-09-30	2011-09-30		121	-336	-277.69%
8031X11190	Business Rules: Sales	Extract sales business rules from legacy code, attach to legacy requirements for context, enter in USPTO	2011-09-30	2011-09-30	2011-09-30	69	0	0.00%
8031X11190	Overarching PMO Support	Provide business transition planning to include documenting requirements associated with the fee processing BPR	2011-09-30	2011-09-30	2011-09-30	74	0	0.00%

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days)	Schedule Variance (%)
		gap analysis and analyzing current external user profiles.						
8031X11055	Sprint #1	Design, Develop, and Test Solution	2011-10-18	2011-10-18	2011-09-13	60	35	58.33%
8031X11055	Sprint #2	Design, Develop, and Test Solution	2011-10-26	2011-10-26	2011-10-26	47	0	0.00%
8031X11055	Sprint #3	Design, Develop, and Test Solution	2011-11-17	2011-11-17	2011-11-17	43	0	0.00%
8031X11012	Development Phase	Develop Solution	2012-02-16	2012-02-16		175	-197	-112.57%
8031X11079	Development Phase	Develop Solution	2012-02-16	2012-02-16		143	-197	-137.76%
8031X11015	Initiation/Planning/Requirements Analysis	Initiate Project and Define Requirements	2012-03-01	2012-03-01		245	-183	-74.69%
8031X12192	Initiation/Planning/Requirements Analysis	Initiate Project and Define Requirements	2012-03-14	2012-03-14		121	-170	-140.50%
8031X11079	Testing Phase	Test Solution	2012-07-05	2012-11-05		203	-123	-60.59%
8031X12192	Release Cycle 1	Sprinting	2012-07-06	2012-07-06		151	-56	-37.09%
8031X11015	Sprints	Design, Develop, and Test Solution	2012-07-10	2012-09-20		249	-72	-28.92%
8031X11012	Testing Phase	Test Solution	2012-07-16	2012-07-16		245	-46	-18.78%
8031X11015	External Testing	Perform Independent Testing	2012-07-23	2012-11-26		73	-126	-172.60%
8031X12020	Design	Design	2012-08-13	2013-01-16		161	-156	-96.89%
8031X11012	Deployment Phase	Implement Solution	2012-08-28	2012-08-28		119	-3	-2.52%
8031X12191	Business Rules: Remainder	Extract remaining business rules from legacy code, attach to legacy requirements for context, enter in USPTO requirements tool, and mark as	2012-09-28	2012-09-28		361	0	0.00%

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days)	Schedule Variance (%)
		carryover to FPNG, obsolete, or modify for FPNG.						
8031X12191	Overarching Security	Provide security expertise including overarching requirements and designs for the program.	2012-09-28	2012-09-28		361	0	0.00%
8031X12191	Overarching PMO Support	Provide business transition planning to include documenting requirements associated with the fee processing BPR gap analysis and analyzing current external user profiles.	2012-09-28	2012-09-28		361	0	0.00%
8031X12192	Release Cycle 2	Sprinting	2012-10-15	2012-10-15		132	0	0.00%
8031X12020	Development	Development	2012-10-23	2013-02-20		197	-120	-60.91%
8031X12192	Project Management Activities	Manage Pgm	2012-11-30	2012-11-30		393	0	0.00%
8031X12020	Testing	Testing	2012-12-06	2013-03-15		206	-99	-48.06%
8031X12020	Production	Implement Solution	2012-12-28	2013-03-27		199	-89	-44.72%
8031X12020	Project Management Activities		2012-12-28	2013-03-27		454	-89	-19.60%
8031X12193	Conduct Project	Conduct Project	2013-02-28	2013-06-30		303	-122	-40.26%
8031X12194	Conduct Project	Conduct Project	2013-02-28	2013-06-30		303	-122	-40.26%

Section C: Operational Data

Table II.C.1 Performance Metrics								
Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency

NONE